



Express Mail No. EV322527239US
Attorney Docket No. NYMX0001
Client/Matter No. 99786.0008

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Bruce M. Horton, et al.

Serial No. 10/699,314

Filed: October 31, 2003

For: SYSTEM AND METHOD FOR SETTLING
TRANSACTIONS ON AN ERODING BASIS

Group Art Unit: Not Yet Assigned

Examiner: Not Yet Assigned

Confirmation No.: Not Yet Assigned

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Commissioner for Patents
P.O. Box 1450
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Date

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12-31-03

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INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. 1.97

Commissioner for Patents
P.O. Box 1450
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Sir:

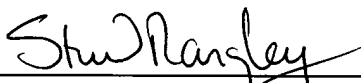
Applicant hereby submits for filing under 37 CFR 1.97 a disclosure statement. In submitting these references, no representation is made or implied that the references are or are not material to the examination of this application. The publications or other information of which Applicant is presently aware are listed in Form PTO/SB/08A submitted herewith and copies of all such publications are attached hereto.

No fee is believed due for this submittal. However, any fee deficiency associated with this submittal may be charged to Deposit Account No. 50-1123.

Respectfully submitted,

12/30/03

Date



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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Application Number	10/699,314
				Filing Date	10/31/2003
				First Named Inventor	Bruce M. Horton
				Art Unit	Not Yet Assigned
				Examiner Name	Not Yet Assigned
Sheet	1	of	1	Attorney Docket No.	NYMX0001

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s) publisher, city and/or country where published	T ²
	1	NEW YORK MERCANTILE EXCHANGE, "Exchange Announces Launch Plans for Monthly, Weekly, and Daily Electricity Futures Contracts," March 6, 2003, pp. 1-9, p. 18.	
	2	"Proposed NYMEX PJM Calendar-Month Daily-LMP Swap (PJM Interconnection, LLC) Contract, pp. 9-14	
	3	S. STOFF, et al., "Primer on Electricity Futures and Other Derivatives," January 1998, pp. i-xvi, 1-41	

EXAMINER SIGNATURE		DATE CONSIDERED	
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.			
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